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•Practice Limited to  
Federal Agencies

July 1, 2004

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Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

**Mail Stop Amendment**

Re: U.S. Utility Patent Application  
Application No. 10/699,867; Filed: November 4, 2003  
For: **Valve Pin Guiding Tip for a Nozzle**  
Inventors: SICILIA *et al.*  
Our Ref: 2107.1050002/TUM/RLP

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Information Disclosure Statement;
2. Form PTO-1449 listing 100 documents;
3. Copies of the following 19 documents listed on Form PTO-1449 (AM1-AP1, AO2, AR2, AS2, AN3-AS3, AJ4-AN4, AM5 and AN5); and
4. Return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Rae Lynn P. Guest  
Attorney for Applicants  
Registration No. 53,482

TUM/RLP/dbj  
Enclosures

268378\_1.DOC



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

SICILIA *et al.*

Appl. No.: 10/699,867

Filed: November 4, 2003

For: **Valve Pin Guiding Tip for a Nozzle**

Confirmation No.: 5133

Art Unit: 1722

Examiner: *To be assigned*

Atty. Docket: 2107.1050002/TUM/RLP

**Information Disclosure Statement**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- ☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- ☒ 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.
- ☐ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.

- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ c. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$\_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our PTO-2038 Credit Card Payment Form in the amount of \$\_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:
- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign

application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

☒ 5. The documents AD1, AN3, AO3 and AK4 were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of the English language search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.

☒ 6. A concise explanation of the relevance of each of non-English language documents AM1, AO1, AP1, AO2, AR2, AS2, AN3-AS3, AJ4-AN4, AM5 and AN5 is provided by the English language abstract attached thereto. A concise explanation of the relevance of Document AN1 (29602484) is provided by the English language translation of the claims attached thereto. Documents AV2 and AT3 are relevant at least because figures therein illustrate valve pin alignment.

- ☒ 7. Copies of documents AM1-AP1, AO2, AR2, AS2, AN3-AS3, AJ4-AN4, AM5 and AN5 are submitted herewith in the event that associated translations were not previously forwarded therewith in the parent application.
- ☒ 8. All of the cited documents were cited by and/or submitted to the Office in an earlier or concurrently filed IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. 10/369,564, filed February 21, 2003, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).
- ☒ 9. No copies of U.S. patents and patent application publications cited on the attached Form PTO-1449 are submitted in accordance with 1276 OG 55 because this application was filed after June 30, 2003.
- ☒ 10. It is expected that the examiner will review the prosecution and cited art in the parent application no. 10/369,564 in accordance with MPEP 2001.06(b), and indicate in the next communication from the office that the art cited in the earlier prosecution history and the art cited herein has been reviewed in connection with the present application.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

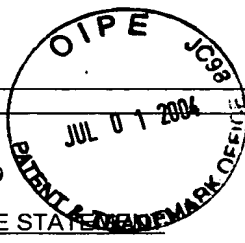
A handwritten signature in cursive script, reading "Rae Lynn P. Guest".

Rae Lynn P. Guest  
Attorney for Applicants  
Registration No. 53,482

Date: July 1, 2004

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Washington, D.C. 20005-3934  
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FORM PTO-1449

## INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO.  
2107.1050002/TUM/RLPAPPLICATION NO.  
10/699,867FIRST NAMED INVENTOR  
Sicilia et al.FILING DATE  
Nov. 4, 2003ART UNIT  
1722

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA1	2865050	Jun 6 1955	Strauss			
	AB1	3488810	Jan 13 1970	Gellert			
	AC1	3716318	Feb 13 1973	Erik et al.			
	AD1	3741704	Jun 26 1973	Beasley			
	AE1	3952927	Apr 27 1976	Shaumburg et al.			
	AF1	4004871	Jan 25 1977	Hardy			
	AG1	4010903	Mar 8 1977	Sakuri et al.			
	AH1	4013393	Mar 22 1977	Gellert			
	AI1	4043740	Aug 23 1977	Gellert			
	AJ1	4173448	Nov 6 1979	Rees et al.			
	AK1	4306852	Dec 22 1981	Mateev et al.			
	AL1	4368028	Jan 11 1983	Grish et al.			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AM1	DE 3245571 A1	Jun 20 1984	Germany			Yes X No
	AN1	DE 29602484 U1	May 9 1996	Germany			Yes X No
	AO1	DE 19608676 C1	Jan 1 1997	Germany			Yes X No
	AP1	EP 0638407 A1	Feb 15 1995	Europe			Yes X No
	AR1	EP 0750975 A1	Jan 2 1997	Europe			Yes X No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AS	1	
	AT	1	PCT Search Report for WO 03/70446 (Application No. PCT/CA03/00244), dated May 16, 2003.
	AU	1	Images and information from "Gunther Hot Runner Technology" taken from Gunther website August 2003.

EXAMINER

DATE CONSIDERED

**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



FORM PTO-1449  INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO. 2107.1050002/TUM/RLP	APPLICATION NO. 10/699,867
	FIRST NAMED INVENTOR Sicilia et al.	
	FILING DATE Nov. 4, 2003	ART UNIT 1722

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA2	4412807	Nov 1 1983	York			
	AB2	4652230	Mar 24 1987	Osuna-Diaz			
	AC2	4768283	Sep 6 1988	Gellert			
	AD2	4768945	Sept 6 1988	Schmidt et al.			
	AE2	4771164	Sept 13 1988	Gellert			
	AEF	4781572	Nov 1 1988	Boring			
	AG2	4832593	May 23 1989	Brown			
	AH2	4875848	Oct 24 1989	Gellert			
	AI2	4911636	Mar 27 1990	Gellert			
	AJ2	4925384	May 15 1990	Manner			
	AK2	4945630	Aug 7 1990	Gellert			
	AL2	4981431	Jan 1 1991	Schmidt			
	AM2	5015170	May 14 1991	Gellert			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AN2	EP 0873841 A2	Oct 28 1998	Europe			Yes No
	AO2	EP 0962296 A2	Dec 8 1999	Europe			Yes No X
	AP2	EP 1188537 A2	Mar 20 2002	Europe			Yes No
	AR2	FR 2537497	Jun 15 1994	France			Yes No X
	AS2	JP 5-177664	Jul 20 1993	Japan			Yes No X

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AT	2	Press Release entitled "Mold-Masters Introduces The New Accu-Gate Virtually Eliminating Gate Wear" (Dec. 12, 2002)
	AU	2	Images and Information from website of Mold Hotrunner Solutions (date unknown)
	AV	2	H.P. Manner, "NadelverschlusBdusen fur kurze Zykluszeit," <u>Kunststoffe</u> 85(2):166-168 (1995).

EXAMINER

DATE CONSIDERED

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10/699,867FIRST NAMED INVENTOR  
Sicilia et al.FILING DATE  
Nov. 4, 2003ART UNIT  
1722**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA3	5028227	Jul 2 1991	Gellert et al.			
	AB3	5053271	Oct 1 1991	Mori et al.			
	AC3	5208052	May 4 1993	Schmidt et al.			
	AD3	5254305	Oct 19 1993	Fernandez et al.			
	AE3	5299928	Apr 5 1994	Gellert			
	AF3	5334008	Aug 2 1994	Gellert			
	AG3	5421716	Jun 6 1995	Gellert			
	AH3	5443381	Aug 22 1995	Gellert			
	AI3	5492467	Feb 20 1996	Hume et al.			
	AJ3	5501594	Mar 26 1996	Glozer et al.			
	AK3	5505613	Apr 9 1996	Krummenacher			
	AL3	5545028	Aug 13 1996	Hume et al.			
	AM3	5554395	Sep 10 1996	Hume et al.			

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AN3	JP 5-261770	Oct 12 1993	Japan			Yes X No
	AO3	JP 5-309695	Nov 22 1993	Japan			Yes X No
	AP3	JP 7-148786	Jun 13 1995	Japan			Yes X No
	AR3	JP 8-90598	Apr 9 1996	Japan			Yes X No
	AS3	JP 10-264222	Oct 6 1998	Japan			Yes X No

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

	AT	<u>3</u>	Ewikon Product Catalog entitled "AuBenbeheizte HeiBkanalduse, 230 V, fur schnelle Farbwechsel," 3 pages, dated October 2000.
	AU	<u>3</u>	Kona Corporation Catalog entitled "Kona Bushing for Sprueless Molding," pages 1-24, dated June 25, 2001.
	AV	<u>3</u>	

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1722**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA4	5652003	Jul 29 1997	Gellert			
	AB4	5658604	Aug 19 1997	Gellert et al.			
	AC4	5695793	Dec 9 1997	Bauer			
	AD4	5700499	Dec 23 1997	Bauer			
	AE4	5804228	Sep 8 1998	Kofsman et al.			
	AF4	5811140	Sep 22 1998	Manner			
	AG4	5834041	Nov 10 1998	Sekine et al.			
	AH4	5849343	Dec 15 1998	Gellert et al.			
	AI4	5879727	Mar 9 1999	Puri			

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AJ4	JP 10-296798	Nov 10 1998	Japan			X Yes No
	AK4	JP 11-254488	Sep 21 1999	Japan			X Yes No
	AL4	JP 2002-307492	Oct 23 2002	Japan			X Yes No
	AM4	JP 2003-11173	Jan 15 2003	Japan			X Yes No
	AN4	JP 2003-11174	Jan 15 2003	Japan			X Yes No

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

	AO	<u>4</u>	
	AP	<u>4</u>	
	AQ	<u>4</u>	

EXAMINER

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FORM PTO-1449  <b>INFORMATION DISCLOSURE STATEMENT</b>	ATTY. DOCKET NO. 2107.1050002/TUM/RLP	APPLICATION NO. 10/699,867
	FIRST NAMED INVENTOR Sicilia et al.	
	FILING DATE Nov. 4, 2003	ART UNIT 1722

### U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA5	5895669	Apr 20 1999	Seres, Jr. et al.			
	AB5	5941637	Aug 24 1999	Maurer			
	AC5	6003182	Dec 21 1999	Song			
	AD5	6009616	Jan 4 2000	Gellert			
	AE5	6017209	Jan 25 2000	Gellert et al.			
	AF5	6030202	Feb 29 2000	Gellert et al.			
	AG5	6050806	Apr 18 2000	Ko			
	AH5	6089468	Jul 18 2000	Bouti			
	AI5	6164954	Dec 26 2000	Mortazavi et al.			
	AJ5	6227461	May 8 2001	Schroeder et al.			
	AK5	6245278	Jun 12 2001	Lausenhammer et al.			
	AL5	6264460	Jul 24 2001	Wright et al.			

### FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AM5	JP 2003-11176	Jan 15 2003	Japan			Yes X No
	AN5	WO 84/00922	Mar 15 1984	PCT			Yes X No
	AO5	WO 01/78961 A1	Oct 25 2001	PCT			Yes No
	AP5	WO 03/004243 A1	Jan 16 2003	PCT			Yes No
	AR5	WO 03/070446 A1	Aug 28 2003	PCT			Yes No
	AS5	WO 2004/012923 A2	Feb 12 2004	PCT			Yes No

### OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AT	<u>5</u>	
	AU	<u>5</u>	
	AV	<u>5</u>	

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Sicilia et al.FILING DATE  
Nov. 4, 2003ART UNIT  
1722**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA6	6273706	Aug 14 2001	Gunther			
	AB6	6309208	Oct 30 2001	Kazmer et al.			
	AC6	6358038	Mar 19 2002	Rozenberg			
	AD6	6358039	Mar 19 2002	Manner et al.			
	AE6	6419116	Jul 16 2002	Eigler et al.			
	AF6	2003/0008034	Jan 9 2003	Niewels			
	AG6	2003/0170340	Sep 11 2003	Sicilia et al.			
	AH6	2004/0071817	Apr 15 2004	Fischer et al.			
	AI6						
	AJ6						
	AK6						
	AL6						
	AM6						

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AN6						Yes No
	AO6						Yes No
	AP6						Yes No
	AR6						Yes No
	AS6						Yes No

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

	AT	<u>6</u>	
	AU	<u>6</u>	
	AV	<u>6</u>	

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